

UNITED STATES DEPARTMENT OF COMMERCE  
 Patent and Trademark Office  
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
0362/0410	04/10/98		001840005US

THOMAS A S HARRICK  
 OF PENNELLER WULF & DONNELLY  
 100 ALMADEN BOULEVARD  
 SUITE 600  
 SAN JOSE CA 95110

0362/0410

NOT ASSIGNED

3642

DATE MAILED: 04/10/98

### NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☐ non-small entity is \$ 720.00

☒ 1. The statutory basic filing fee is:

- ☒ missing.
- ☐ insufficient.

Applicant must submit \$ 790.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for \_\_\_\_\_ dependent claims over 20.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing or unexecuted.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☒ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

Adjustment date 06/01/1998. The application must comply with Sequence Rules 37 CFR 1.821-1.825.

06/01/1998  
 03 FC 205

9. OTHER: -272.00 OP

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*C. Jackson*

Customer Service Center  
 Initial Date: 06/01/1998  
 Examination Division (703) 308-1202

06/01/1998  
 01 FC:205

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02 FC:1533 (REV. 9-97)

272.00 OP

03 FC:1199

00000006 09004822 220.00 OP



UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Alcorn et al.  
Serial No: 09/004,822

Atty Docket: 38184-0005US  
Filed: January 9, 1998

Title: **"METHOD AND APPARATUS FOR PROVIDING AUTHENTICATED SECURE  
ON-LINE COMMUNICATION BETWEEN REMOTE LOCATIONS"**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Enclosed herewith for filing in the above-identified application are the following:

- 1) Copy of Notice to File Missing Parts of Application (Filing Date Granted);
- 2) 1 originally executed Verified Statement Claiming Small Entity Status (Independent Inventor);
- 3) 1 originally executed Declaration and Power of Attorney;
- 3) Check No. 120556 in the amount of \$732.00, as payment of the required fees; and
- 4) Postcard for date-stamped return as confirmation of receipt of these items.

Total fees due in this application amount to \$732.00. The Commissioner is further authorized to charge any required additional fees, or credit any overpayment, to deposit account 02-3964.

Respectfully submitted,

Claude A.S. Hamrick

Date: May 21, 1998

**OPPENHEIMER WOLFF & DONNELLY LLP** Reg. No. 22,586

Ten Almaden Blvd., Suite 600  
San Jose, CA 95113  
Tel: (408) 795-3000  
Fax: (408) 795-3100

I hereby certify that this correspondence with all attachments is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on May 21, 1998, by Yvette Yturalde-Owen.



Receipt  
#4  
#6

**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

Applicant: Alcorn, et al. Docket No: 38184-0005US  
Serial No: 09/004,822 Group Art Unit : 3642  
Filing Date: January 9, 1998 Examiner: Not yet assigned  
For: **"METHOD AND APPARATUS FOR PROVIDING AUTHENTICATED  
SECURE ON-LINE COMMUNICATION BETWEEN REMOTE  
LOCATIONS"**

Assistant Commissioner for Patents  
Washington, D.C. 20231

ATTN: Customer Corrections

*Done  
11-27-98*

RECEIVED  
TECHNOLOGY CENTER 3600  
98 JUN 12 PM 12:45

**REQUEST FOR CORRECTED FILING RECEIPT**

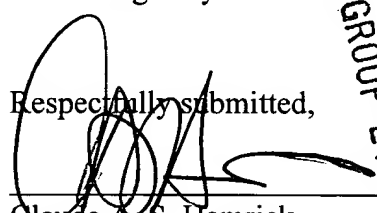
Sir:

Attached is a copy of the official filing receipt received from the USPTO in the above application for which issuance of a corrected filing receipt is respectfully requested. The inventor name for this application is incorrectly entered as Allen E. Alcorn. The correct name for the inventor is Allan E. Alcorn.

The correction is not due to any error by applicant and no fee is due. However, in the event that a fee is due, the Commissioner is hereby authorized to charge any such fees to Deposit Account 02-3964.

Dated: May 22, 1998  
**OPPENHEIMER WOLFF & DONNELLY LLP**  
Ten Almaden Blvd. Suite 600  
San Jose, CA 95113  
Tel: 408-795-3000

Respectfully submitted,

  
Claude A. S. Hamrick  
Reg. No. 22,586

RECEIVED  
98 OCT 14 AM 7:27  
GROUP 2700

I hereby certify that this correspondence with all attachments is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Customer Corrections Branch, on May 22, 1998, by I. Marie Kotsubo.



FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/004,822	01/09/98	3642	\$0.00	381840005US	10	98 OCT 14 AM 7:27	4

CLAUDE A S HAMRICK  
OPPENHEIMER WOLFF & DONNELLY  
10 ALMADEN BOULEVARD  
SUITE 600  
SAN JOSE CA 95113

RECEIVED  
98 OCT 14 AM 7:27  
GROUP 2700

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

ALLEN E. ALCORN, PORTOLA VALLEY, CA; RICHARD L. HALE,  
APTOS, CA.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/035,290 01/10/97

FOREIGN FILING LICENSE GRANTED 04/06/98

TITLE

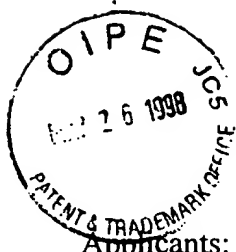
METHOD AND APPARATUS FOR PROVIDING AUTHENTICATED  
SECURE ON-LINE COMMUNICATION BETWEEN REMOTE LOCATIONS

PRELIMINARY CLASS: 380

RECEIVED  
OPPENHEIMER WOLFF & DONNELLY LLP  
SAN JOSE, CALIFORNIA

APR 13 1998

DOC.# 38184-0005US  
CAL'D CSH  
FILE ☒ O/M ☐ (2)



UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Alcorn et al.  
Serial No: 09/004,822

Atty Docket: 38184-0005US  
Filed: January 9, 1998

Title: "METHOD AND APPARATUS FOR PROVIDING AUTHENTICATED SECURE  
ON-LINE COMMUNICATION BETWEEN REMOTE LOCATIONS"

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

02 3964

299 11

RESPONSE TO NOTICE TO FILE MISSING PARTS

Enclosed herewith for filing in the above-identified application are the following:

- 1) Copy of Notice to File Missing Parts of Application (Filing Date Granted);
- 2) 1 originally executed Verified Statement Claiming Small Entity Status (Independent Inventor);
- 3) 1 originally executed Declaration and Power of Attorney;
- 3) Check No. 120556 in the amount of \$732.00, as payment of the required fees; and
- 4) Postcard for date-stamped return as confirmation of receipt of these items.

Total fees due in this application amount to \$732.00. The Commissioner is further authorized to charge any required additional fees, or credit any overpayment, to deposit account 02-3964.

Respectfully submitted,

Claude A.S. Hamrick

Date: May 21, 1998

**OPPENHEIMER WOLFF & DONNELLY LLP** Reg. No. 22,586  
Ten Almaden Blvd., Suite 600  
San Jose, CA 95113  
Tel: (408) 795-3000  
Fax: (408) 795-3100

I hereby certify that this correspondence with all attachments is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on May 21, 1998, by Yolette Yturralde-Owen.